

529 Rec'd PCT/PTO 08 MAY 2000

FORM PTO-1390  
REV. 5-93

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEYS DOCKET NUMBER  
**P00,0861**

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**09/530983**

INTERNATIONAL APPLICATION NO.  
**PCT/DE98/03229**

INTERNATIONAL FILING DATE  
**05 NOVEMBER 1998**

PRIORITY DATE CLAIMED  
**07 NOVEMBER 1997**

TITLE OF INVENTION

**ARRANGEMENT FOR PREDICTING AN ABNORMALITY OF A SYSTEM AND FOR IMPLEMENTING AN ACTION  
OPPOSING THE ABNORMALITY**

APPLICANT(S) FOR DO/EO/US

**GUSTAVO DECO ET AL.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
  4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of International Application as filed (35 U.S.C. 371(c)(2)) - drawings attached.
    - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
  6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)) - drawings attached.
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☒ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:
11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (**PTO 1449, Prior Art, Search Report**).
  12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.  
(**SEE ATTACHED ENVELOPE**)
  13. ☒ Amendment "A" Prior to Action.
    - ☐ A SECOND or SUBSEQUENT preliminary amendment.
  14. ☐ A substitute specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information:
    - a. ☒ Submission of Informal Drawings - 2 sheets of drawings, Figures 1-3; and  
Request for Approval of Drawing Modifications, 2 sheets of drawings, Figures 1-3.
    - b. ☒ EXPRESS MAIL # EL 544622679US dated May 8, 2000.

U.S. APPLICATION NO. 09/53098

INTERNATIONAL APPLICATION NO.  
PCT/DE98/03229ATTORNEY'S DOCKET NUMBER  
00,086117. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO ..... \$840.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) .. \$670.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but  
international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) ..... \$760.00Neither international preliminary examination fee (37 C.F.R. 1.482) nor international  
search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$970.00International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all  
claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 96.00**ENTER APPROPRIATE BASIC FEE AMOUNT =**

CALCULATIONS

PTO USE ONLY

\$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims

Number Filed

Number  
Extra

Rate

Total Claims

17 - 20 =

0

X \$ 18.00

\$

Independent Claims

03 - 3 =

0

X \$ 78.00

\$

Multiple Dependent Claims

\$260.00 +

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$ 840.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also  
be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

**SUBTOTAL =**

\$ 840.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 CFR 1.492(f)).

\$

+

**TOTAL NATIONAL FEE =**

\$ 840.00

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be  
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property

+

**TOTAL FEES ENCLOSED =**

\$ 840.00

Amount to be  
refunded

\$

charged

\$

a. ☒ A check in the amount of \$ 840.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A  
duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 08-2290. A duplicate copy of this sheet is enclosed.NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be  
filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Hill & Simpson  
A Professional Corporation  
85th Floor Sears Tower  
Chicago, Illinois 60606

SIGNATURE

Steven H. Noll

NAME

28,982

Registration Number

09/530983

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

416 Rec'd PCT/PTO 08 MAY 2000

**Express Mail Mailing Label Number EL 544622679US**

**Date of Deposit: MAY 8, 2000**

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT  
Assistant Commissioner for Patents  
Washington DC 20231**

**Case Number: P00,0861  
Applicant(s): Gustavo DECO et al.**

**International Application No. PCT/DE98/03229  
International Filing Date 05 November 1998  
Priority Date Claimed 07 November 1997**

**Title: Arrangement for Predicting an Abnormality of a System and for  
Implementing an Action Opposing the Abnormality**

**Enclosed are the following documents:**

International application as filed, drawings attached;  
English translation, drawings attached;  
Annexes;  
Executed Declaration;  
PTO 1390 in duplicate;  
Amendment "A" prior to action;  
Information Disclosure Statement; PTO 1449, Search Report, References;  
Submission of Informal Drawings and Drawing Modifications, 2 sheets of drawings,  
Figures 1-3;

**Fee: \$ 840.00  
Postcard**

**(See attached envelope for Executed Assignment;  
PTO 1595; \$40.00 filing fee; Postcard)**

  
\_\_\_\_\_  
Signature of person mailing documents and fees

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IN THE UNITED STATES DESIGNATED/ELECTED OFFICE  
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY--CHAPTER II

APPLICANT(S):	GUSTAVO DECO ET AL.
ATTORNEY DOCKET NO.:	P00,0861
INTERNATIONAL APPLICATION NO:	PCT/DE98/03229
INTERNATIONAL FILING DATE:	05 NOVEMBER 1998
INVENTION:	ARRANGEMENT FOR PREDICTING AN ABNORMALITY OF A SYSTEM AND FOR IMPLEMENTING AN ACTION OPPOSING THE ABNORMALITY

Assistant Commissioner for Patents,  
Washington D.C. 20231

## REQUEST FOR APPROVAL OF DRAWING MODIFICATIONS

Sir:

Enclosed are copies of the drawings (Figures 1-3) showing in red, the addition of labels to Figures 1 & 2. The original Figure 3 has been cancelled and replaced. Applicants believe that no new matter has been added with this modification to Figure 3. Approval of the additions is respectfully requested.

Submitted by,

20

*Steven H. Noll* (Reg. No. 28,982)  
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 85<sup>th</sup> Floor - Sears Tower  
 Chicago, Illinois 60606  
 (312) 876-0200  
 Attorney for Applicant(s)

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**BOX PCT**  
**IN THE UNITED STATES DESIGNATED/ELECTED OFFICE**  
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5	APPLICANT(S):	GUSTAVO DECO ET AL.
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10 Assistant Commissioner for Patents,  
Washington D.C. 20231

## **SUBMISSION OF INFORMAL DRAWINGS**

Sir:

Applicant herewith submits 2 sheets (Figures 1-3 ) of informal drawings  
15 for the above-referenced PCT application.

Submitted by,

Stan H. Noll (Reg. No. 28,982)

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